



NIH Records Management Program

Extramural Research Records Schedule

NIH EXTRAMURAL RESEARCH RECORDS RETENTION SCHEDULE ITEMS **APPROVED BY THE ARCHIVIST OF THE UNITED STATES ON 1-30-2015** **RECORDS SCHEDULE #DAA-0443-2013-0004**

Background:

The NIH extramural research records retention schedules were updated to reflect the needs of the extramural community, reduce the administrative burden associated with managing extramural records, and achieve compliance with NARA mandates and guidelines.

Overview:

Extramural research records relate to extramural grant and cooperative agreement activities. These records span the grant lifecycle and include, but are not limited to, grant applications, submission plans, program announcements, peer review decision documents, budget and data collections, award notifications, post-award reports, etc. Extramural program files document grant and cooperative agreement management activities of the agency, ensuring that all awards are made in accordance with applicable statutes, regulations, and policies and provide the initial scientific and technical merit review of those research and training applications assigned to the agency extramural responsible officials.

This records schedule is designed to cover all NIH extramural records, as such, all extramural records must be evaluated and assigned to one of the following four schedule items, which are listed in order from longest to shortest retention period.

- Item E-0001 – Official case files of construction, renovation, endowment and similar grants;
- Item E-0002 – Official case files of funded grants, unfunded grants, and award applications, appeals and litigation records;
- Item E-0003 – Animal welfare assurance files
- Item E-0004 – Extramural program and grants management oversight records

Item E-0001: Official case files of construction, renovation, endowment and similar grants

These records include, but are not limited to, records pertaining to the total application, progress reports, site visits, summary of review actions, award notices, terms and conditions of award, financial status reports, close-out documents, and other related papers maintained as an identifiable entity to be used in monitoring the use of supported space throughout the usage obligation. NIH must maintain an interest in research facilities constructed with grant funds in accordance with 42 U.S. Code 283k – Biomedical and behavioral research facilities.

Disposition: **TEMPORARY.** Cut off annually following completion of final grant-related activity that represents closing of the case file (e.g., project period ended). Destroy 20 years after cutoff.

Item E-0002: Official case files of funded grants, unfunded grants, and award applications, appeals and litigation records

These records include, but are not limited to, the complete application(s), summary of review actions, award notices, progress reports, financial records, audit records, official correspondence, appeal documents, legal opinions and litigation documents, closeout documents, and all other related significant and supporting documents that pertain only to the particular grant and grant owner(s).



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Disposition: **TEMPORARY.** Cut off annually following completion of final grant-related activity that represents closing of the case file (e.g., end of project period, completed final peer review, litigation or appeal proceeding concluded). Destroy 10 years after cutoff.

Item E-0003: Animal welfare assurance files

These records assure compliance with the Public Health Service (PHS) Policy on Humane Care and Use of Laboratory Animals in the conduct of projects, grants, and contracts supported by the Department of Health and Human Services (DHHS). Records include, but are not limited to, grant or contract applications, assurance files and applicable revisions of amendments, related correspondence and negotiations, inquiries and complaints of violations, compliance oversight investigations, and site visit reports. The retention requirements for these records are in accordance with the Animal Welfare Act – 9 CFR 2.35.

Disposition: **TEMPORARY.** Cut off annually following closing of the case file. Destroy 4 years after cutoff.

Item E-0004: Extramural program and grants management oversight records

These records are generated during the administration and execution of extramural program activities. This schedule item is intended to capture all extramural program and grants management records that are not part of an official case file (Item 0001 or 0002) or animal welfare assurance file (Item 0003). These records support the operations, compliance, reporting, and oversight functions of the NIH Extramural Program and the financing of research endeavors with the purpose of ensuring scientific integrity and public accountability of the NIH extramural research portfolio. Extramural program and grants management oversight records are consolidated under one common temporary retention item. These records include, but are not limited to, the following extramural functions and operations:

- Grant award administration;
- Stakeholder liaison;
- Human subjects protection;
- Intellectual property;
- Peer review;
- Data management and reporting;
- Research integrity;
- Communication and outreach.

Disposition: **TEMPORARY.** Cut off annually. Destroy 3 years after cutoff.